

**PATENT APPLICATION**

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Attn: Box Missing Parts

Kazumasa HASEGAWA et al.

Application No.: 09/934,550

Filed: August 23, 2001

Docket No.: 110450

For: FERROELECTRIC MEMORY DEVICE, METHOD OF  
MANUFACTURING THE SAME, AND EMBEDDED DEVICE

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
WITH DECLARATION AND TRANSLATION**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date Granted (copy attached) mailed on September 27, 2001, submitted herewith are the executed Declaration of the inventor(s) and, upon information and belief, an accurate translation of the application. Any specification attached to and referenced in the Declaration is a copy of the specification and any amendments thereto which were filed in the Office in order to obtain a filing date for the application.

	(Column 1)	(Column 2)	(Column 3)	SMALL ENTITY		OTHER THAN A SMALL ENTITY	
	CLAIMS REMAINING AFTER TRANSLATION	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	*49 MINUS	**49	=	x 9	\$	x 18	\$ 0
INDEP CLAIMS	* 2 MINUS	***3	=	x 42	\$	x 84	\$ 0
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+140	\$	+280	\$ 0
					\$		\$ 0

- \* If the entry in Column 1 is less than the entry in Column 2, write "0" in Column 3.
  - \*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.
  - \*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.
- The "Highest Number Previously Paid For" in this space (Total or Independent) is the highest number found from the equivalent box in Column 1 of a prior Amendment or the number of claims originally filed.

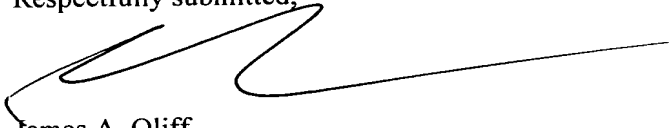
Attached is our Check No. 125282 for ☒ \$260.00 ☐ \$195.00 (entitlement to small entity status is asserted) for the fee under 37 C.F.R. §1.16(e) and §1.17(k) and any excess claim fees noted above.

Submitted herewith are 17 sheets of formal drawings (Figs 1-32) in compliance with 37 C.F.R. 1.84.

Entry of these documents should complete all of the filing formalities and fully satisfy all requirements of the Notice to File Missing Parts. Examination and allowance of this application in due course are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,

  
James A. Oliff  
Registration No. 27,075

Eric D. Morehouse  
Registration No. 38,565

JAO:EDM/gam

Date: November 27, 2001

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

<p>DEPOSIT ACCOUNT USE AUTHORIZATION Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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For: FERROELECTRIC MEMORY DEVICE, METHOD OF  
MANUFACTURING THE SAME, AND EMBEDDED DEVICE

7/C PL  
H. Markley  
3-5-02  
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**REQUEST FOR CORRECTION OF PALM RECORDS**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

Attached is a photocopy of the original filing receipt on which errors have been corrected in red. These errors are being brought to the attention of the Patent and Trademark Office so that it may correct its records.

Respectfully submitted,

James A. Oliff  
Registration No. 27,075

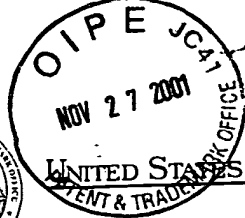
Eric D. Morehouse  
Registration No. 38,565

JAO:EDM/gam

Date: November 27, 2001

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**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

**DEPOSIT ACCOUNT USE  
AUTHORIZATION**  
Please grant any extension  
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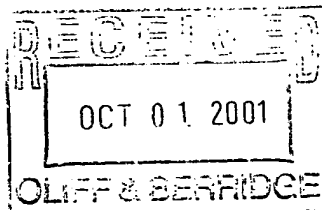
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/934,550	08/23/2001		1232	110450	17	49	2

CONFIRMATION NO. 8987

25944  
OLIFF & BERRIDGE, PLC  
277 S. WASHINGTON STREET, SUITE 500  
ALEXANDRIA, VA 22314



## FILING RECEIPT



\*OC00000006801774\*

Date Mailed: 09/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

*Fujimi-cho* Kazumasa Hasegawa, ~~Suwa-shi~~, JAPAN; *Chino-shi*  
Eiji Natori, ~~Suwa-shi~~, JAPAN; *Shiojiri-shi*  
Takao Nishikawa, ~~Suwa-shi~~, JAPAN;  
Koichi Oguchi, Suwa-shi, JAPAN;  
Tatsuya Shimoda, ~~Suwa-shi~~, JAPAN;

Assignment For Published Patent Application *Tokyo*  
SEIKO EPSON CORPORATION, ~~Shinjuku-ku~~, JAPAN;

Domestic Priority data as claimed by applicant

## Foreign Applications

JAPAN 2000-281725 09/18/2000

If Required, Foreign Filing License Granted 09/27/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

RECEIVED  
FEB 26 2002  
TECHNOLOGY CENTER 2800

Ferroelectric memory device, ~~and~~ <sup>manufacturing</sup> method of making the same, and ~~consolidating~~ <sup>embedded</sup> device

Preliminary Class

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

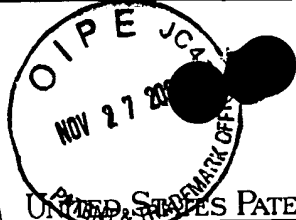
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/934,550	08/23/2001	Kazumasa Hasegawa	110450

CONFIRMATION NO. 8987

## FORMALITIES LETTER



\*OC000000006801776\*

25944  
OLIFF & BERRIDGE, PLC  
277 S. WASHINGTON STREET, SUITE 500  
ALEXANDRIA, VA 22314

Date Mailed: 09/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

11/19/2001 BABRAHA1 00000043 09934550

FILED UNDER 37 CFR 1.53(b)

01/20/05  
02/20/05130.00 OP  
130.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 260.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

*A copy of this notice **MUST** be returned with the reply.*

u.

PART 2 - COPY TO BE RETURNED WITH RESPONSE